

FINAL TOOL FOR ASSESSING ADMINISTRATIVE AGENCY CORE COMPETENCIES

In order to serve as an administrative agency, an agency must satisfy:

All applicable criteria designated as "A level" in this tool

80% of the applicable criteria designated as "B level" in this tool

I. FINANCIAL RESPONSIBILITY

The agency is required to maintain the integrity of transactions affecting each contract attachment and to have a financial management system that meets the standards defined in Uniform Grant Management Standards (UGMS) Subpart C, section 20.

Does the agency's financial management systems meet the following criteria:

A. 1. The establishment within the chart of accounts and general ledger a separate cost center and set of accounts for each contract attachment. (Provide general ledger and chart of accounts.)

Yes No

A. 2. Permits the tracing of funds and transactions from source documents, subsidiary records/journals to posting in the general ledger. (Provide subsidiary records/journals.)

Yes No

A 3. A records system where accounting records are in good order and readily available for inspection. (Review of supporting documentation for postings in the general ledger is easily accessible.)

Yes No

A. 4. Permits the preparation of reports required by the contract.

Yes No

Uniform Grant Management Standards and applicable OMB Circulars require specific employee salary and wages to be supported by personnel activity reports (time sheets).

Does the agency have the personnel activity reports in place and available for review that: (Provide current time keeping records for review.)

A. 5. Reflect an after-the-fact distribution of the actual activity of each employee.

Yes No

A. 6. Account for the total activity for which the employee is compensated and are signed by the employee and supervisor.

Yes No

A. 7. Do not use budget estimates or predetermined distribution percentages as support for amounts charged under the contract.

Yes No

Selected applicants are required to monitor the performance of any subrecipients and to maintain and have available for inspection, pertinent records related to monitoring efforts.

A. 8. Does the agency have documents and/or reports on file and available for inspection that evidence monitoring of subrecipients compliance with the terms of the contract, Uniform Grants Management Standards and applicable Office of Management and Budget Circulars?

Yes No

A. 9. Does the agency have established budgeted positions for an adequate financial staff responsible for monitoring current subrecipients.

Yes No

Selected applicants must demonstrate that the agency is financially viable. A current balance sheet and income statement must be provided for inspection.

A. 10. Does the balance sheet reflect a deficit fund balance?

Yes No

A. 11. Is the agency's ratio of current assets to current liabilities greater than 1?

Yes No

A. 12. Does the agency have a positive cash position?

Yes No

A. 13. Does the income statement reflect an excess of revenues over expenditures?

Yes No

A. 14. Does the agency have any contingent liabilities? (Provide copy of latest audited financial statements.)

Yes No

A. 15. Does the agency have an established banking relationship and is in good standing with the bank? (Letter from bank to evidence good standing.)

Yes No

A. 16. Is the agency in compliance with Internal Revenue Service reporting and payroll tax requirements? (Provide evidence of tax deposits.)

Yes No

A. 17. Is the agency in compliance with applicable unemployment insurance and workers' compensation reporting requirements and payment of related premiums? (Provide copy of related reports and proof of timely payment.)

Yes No

A. 18. Written fiscal policy and procedures manual and evidence of adherence. (Provide copy of policy and procedure manuals.)

Yes No

Does the agency have the following documents in place and available for review that demonstrate the active involvement of an oversight authority in the financial management of the agency: (Provide copies of board minutes or other documents that evidence these actions.)

A. 19. Review and approval of agency's budget.

Yes No

A. 20. Review of agency's financial statements and budget variances.

Yes No

A. 21. Review of independent auditors report and related agency response.

Yes No

A. 22. Meets at minimum on a quarterly basis.

Yes No

Does the agency have the following documents in place and available for review?

A. 23. Written policies and procedures that address internal controls to safeguard all grant and subgrantee cash, real/personal property and other assets. (Provide applicable policies and procedures.)

Yes No

A. 24. Work papers to support amounts submitted on reimbursement requests. (Supported by allocable costs recorded in the general ledger.)

Yes No

A. 25. Work papers or reconciliations that support the amounts reported on financial reports (Financial Status Reports).

Yes No

A. 26. Provide approved budget and job descriptions that document an adequate number of established budgeted position(s) responsible for the financial management of agency operations.

Yes No

A. 27. Bank reconciliations. (Provide latest bank reconciliation for review.)

Yes No

**A. 28. Reconciliation of detail accounts payable to general ledger control account.
(Provide latest reconciliation for review.)**

Yes No

A. 29. Specific written procedures are in place for the review and processing of reimbursement requests from subcontractors.

Yes No

A. 30. Provide latest aged accounts payable as documentation that agency makes timely payment on obligations.

Yes No

B. 31. The applicant has documented procedures that adequately address financial compliance monitoring of subrecipients.

Yes No

Summary of Score: Financial Responsibility

_____/ 30 As

_____/ 1 B

II. DEMONSTRATED CAPACITY TO PROVIDE ADMINISTRATIVE SERVICES

A. 1. Does the agency have a Mission Statement in place and available for review?

Yes No

A. 2. The Agency is required to produce a written plan to describe their capacity for providing administrative services to the entire geographic area. Is the plan adequate to provide administrative services to the entire geographic area?

Yes No

A. 3. Does the agency have a signed assurance that it will comply with the TDH administrative performance standards?

Yes No

The agency is required to have an administrative policy/procedures manual or operational manual addressing major administrative systems and functions.

A. 4 Does the agency have an administrative policy/procedure manual or operational manual that at a minimum addresses major administrative systems and functions?

Yes No

A. 5. Does the manual include policies/procedures that address preparing program data and information for presentation to its governing body?

Yes No

A. 6. Does the manual include policies/procedures that address collecting client/customer satisfaction information on at least an annual basis and applying these data to improve program operations?

Yes No

A. 7. Does the manual include policies/procedures that address providing monitoring or evaluation reports to the Governing Body?
Yes No

B. 8. Does the agency have a risk management plan in place and available for review?
Yes No

A. 9. Does the agency have sufficient liability insurance and fidelity bond coverage for current obligations?
Yes No

A. 10. The agency has no current sanctions or any other type of disciplinary restrictions from funding sources.
Yes No

Summary of Score: Demonstrated Capacity to Provide Administrative Services:
_____/ 9 As _____/ 1 B

III. ISSUES ASSOCIATED WITH GOVERNANCE

The agency is required to submit board bylaws, meeting schedules, minutes, policies, procedures, and an orientation and training plan.

Does the agency have the following documents in place and available for review?

A. 1. Governing Body Bylaws Yes No

A. 2. Meeting Minutes **Yes** **No**

A. 3. Governing Body Policies and Procedures **Yes** **No**

A. 4. Governing Body Orientation and Training Plan **Yes** **No**

A. 5. Does the agency have a policy available for review that prohibits appointment of officers who have been criminally convicted of fiduciary crimes? (Note: this item may not apply if the governing board is locally elected or appointed officials)

Yes No Not Applicable

Summary of Score: Issues Associated with Governance:
_____ / 5 As if all are applicable or _____ / 4 As if #5 is not applicable

IV. AGENCY PERSONNEL AND HUMAN RESOURCES POLICY

Does the agency have personnel policies available for review that address at a minimum, the following items?

A. 1. Conducting new employee orientation **Yes** **No**

A. 2. Conducting employee performance evaluations **Yes** **No**

A. 3. Complying with Fair Labor and Standards Act requirements **Yes** **No**

A. 4. Processing staff grievances Yes No

A. 5. Verifying certification/licensure credentials for professional staff, and for maintaining verifications of current status, if applicable

Yes No Not Applicable

A. 6. Written job descriptions that include minimum job qualifications and performance standards for each position

Yes No

A. 7. Maintaining the confidentiality of personnel records. Yes No

Score Summary: Agency Personnel and Human Resource Policy:
_____ / 7As if all are applicable or _____ / 6As if #5 is not applicable

V. CLIENT-ORIENTATION

The agency must submit a plan/narrative about how their policies and operational systems are client focused. Selected agency must submit a narrative of the program's history of leadership that resulted in client-focused outcomes.

B. 1. Does the agency have a history of leadership that resulted in client-focused outcomes?

Yes No

B. 2. Does the agency have operational systems that result in client-focused outcomes?

Yes No

Score Summary: Client Orientation:
_____ / 2Bs

VI. PROGRAMMATIC DATA COLLECTION AND REPORTING

A. 1. Can the agency provide evidence of the capacity to collect and manage client-level program data? (If the agency is a current AA, then this criterion must be satisfied with evidence related to COMPIS).

Yes No

B. 2. Does the agency have a job description and performance standards for their client-level program data manager that are consistent with TDH requirements?

Yes No

B. 3. Does the agency have a plan for providing technical assistance and training to subcontractors/providers on the program data reporting system?

Yes No

B. 4. Does the agency have a plan or procedures for evaluating and improving the quality of their program data?

Yes No

B. 5. Can the agency provide evidence of giving timely and complete responses to requests for program data from the grantor?

Yes No

B. 6. Can the agency provide evidence of using program data for planning or program improvement?

Yes No

Score Summary: Data Collection and Reporting:
____ / 1A ____ / 5Bs

VII. SUPPORT OF PLANNING BODY

NOTE: If the agency will not be providing support to the area planning body after restructuring then items VII.1 and VII.2 do not apply. Mark *Not Applicable*.

A. 1. Can the agency provide evidence of support and technical assistance to the planning body?

Yes No Not Applicable

A. 2. Does the agency have a plan to adequately staff, support and provide technical assistance for required planning body activities?

Yes No Not Applicable

Score Summary: Support of Planning Bodies:
____ Not Applicable or ____ / 2As

VIII. ESTABLISHING AND MONITORING SUB-CONTRACTS

NOTE:If the agency does not current hold subcontracts, then for some criteria, policies and procedures that address the issue will be accepted as evidence of capacity to establish and monitor sub-contracts. When policies and procedures will suffice, this is noted on the item. However, if the agency currently holds subcontracts and the criterion requires evidence, then policies and procedures will not suffice as evidence, except when explicitly asked for.

Can the agency provide evidence of monitoring subcontractor administrative systems, which includes:

B. 1. Preparing program data and information on subcontractors and presenting it to their governing body. (Policies/procedures suffice as evidence for agencies with no subcontractors)

Yes No

B. 2. Collecting client/customer satisfaction information on at least an annual basis. (Policies/procedures suffice as evidence for agencies with no subcontractors)

Yes No

B. 3. Providing results of and responses to funding source monitoring or evaluation reports to their Governing Body. (Policies/procedures suffice as evidence for agencies with no subcontractors)

Yes No

B. 4. Does the agency have policies and procedures describing the monitoring of the administrative practices of subcontractors?

Yes No

B. 5. Do job descriptions detail subcontractor-monitoring responsibilities?
(Policies/procedures suffice as evidence for agencies with no subcontractors)

Yes No

B. 6. Can the agency provide evidence of providing technical assistance to subcontractors that includes budget development and management? (Policies and procedures do not suffice as evidence.)

Yes No

B. 7. Does the agency have policies and procedures in place describing technical assistance to subcontractors that include budget development and management?

Yes No

Administrative Agencies are required to conduct open competitions for funding in accordance with TDH policy. If the agency has never conducted a competitive process for funding, items VIII. 8 – 10 are not applicable. Mark *Not Applicable* and continue with item VIII.11.

A. 8. Can the agency provide evidence of facilitating open competition for funding?
(Policies and procedures do not suffice as evidence.)

Yes No Not Applicable

B. 9. The agency has had no substantiated grievances to the Bureau- in the last two years against the Request for Proposal process administered by the agency.

Yes No Not Applicable

A. 10. Has the agency used a clearly defined system for subcontractor selection?

Yes No Not Applicable

A. 11. Does the agency have policies and procedures in place that describe facilitating open competition for funding?

Yes No

B. 12. Can the agency provide evidence of monitoring subcontractors providing support services? (Policies/procedures suffice as evidence for agencies with no subcontractors)

Yes No

B. 13. Does the job description for staff assigned to monitor subcontractors require qualifications appropriate to the task?

Yes No

B. 14. Does the agency have policies and procedures describing the process of monitoring subcontractors performing support services?

Yes No

B. 15. Does the agency have policies and procedures and appropriate monitoring tools in place that ensure fair monitoring of subcontractors?

Yes No

B. 16. Does the agency have a policy and procedure for resolving conflicts with subcontractors?

Yes No

B. 17. Can the agency provide evidence of creating contracts for subcontractors that describe services to be performed and subcontractor quality assurance processes?

Yes No

Score Summary: Establishing and Monitoring Subcontracts:
_____/3As _____/14Bs if #8 - #10 are applicable
_____/1A _____/13Bs 3/3 NA if #8 - #10 are not applicable

IX. CAPACITY TO FACILITATE ACCESS TO HIGH QUALITY HIV-RELATED CARE

A. 1. Can the agency provide evidence of developing and implementing comprehensive outpatient health and support services in their current service delivery area?

Yes No

A. 2. Does the agency have a written implementation plan describing how outpatient health and support services will be delivered to people with HIV and their families in the entire service delivery area?

Yes No

B. 3. Does the agency have a mechanism to ensure that funded HIV health and social service providers have and maintain MOUs with other providers of relevant services (e.g., TB, STD, substance abuse, immunization, HIV prevention, partner services, mental health and mental retardation providers).

Yes No

B. 4. Does the agency have a mechanism to ensure that providers of clinical services adopt and follow current nationally recognized or equivalent (as determined by TDH clinical resource division) clinical practice guidelines when providing clinical services?

Yes No

B. 5. Does the agency have a plan for conducting monitoring of subcontractors who provide clinical, clinical case management and/or psychosocial case management services and evaluating and ensuring the quality of service delivery by either 1) hiring staff qualified by licensure, and training or experience or 2) contracting with Clinical Resources Division at TDH to conduct the monitoring of such subcontractors?

Yes No

Does the agency have, or have a plan to develop, a mechanism that ensures subcontractors are qualified to provide clinical, clinical case management and/or psychosocial case management services, including:

B. 6. Appropriate licensure? Yes No

B. 7. Appropriate education? Yes No

B. 8. Appropriate training? Yes No

B. 9. Appropriate clinical and/or case management protocols, policies and procedures?

Yes No

B. 10. Physician standing delegation orders, when appropriate?

Yes No

<p><i>Score Summary: Capacity to Facilitate Access to High Quality HIV-Related Care</i> _____ / 2 As _____ / 8 Bs</p>
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X. MANAGING CONFLICT OF INTEREST

If the agency will not be functioning both as an AA and a service provider, items 1 – 5 in this section are not applicable. Mark *Not Applicable*.

Agencies that function in a dual role as an administrative agency (AA) and as a service provider agency (PA) must provide proof to Texas Department of Health that the following principles are adhered to:

- The agency has or proposes a formal, internal structure that eliminates or greatly minimizes conflict of interest between AA and PA functions.
- The AA ensures that the PA has no competitive or monitoring advantage over other service providers in the community.
- Between the AA and the PA, there is a separation of supervisory and fiscal responsibilities that eliminates or greatly minimizes conflict of interest.

Are all the principles listed above reflected in the agency's board-approved:

A. 1. Draft or existing organizational chart, showing key personnel and chain of command?

Yes No

A. 2. Draft or existing narrative description of the organizational structure that includes the description and function for key personnel that includes funding sources?

Yes No

A. 3. Draft or existing policies and procedures?

Yes No

A. 4. Implementation plan that at a minimum addresses the proposed competition process to award services funds?

Yes No

A. 5. Accounting system that prevents the use of AA monies for service delivery?

Yes No

Score Summary: Managing Conflict of Interest

If applicable - _____/5 As If not applicable 5 / 5NA

NOTES: